GMAP | Government Efficiency Human Resource Management

- Mid-Management Reductions
- Managers' Accountability - HRM Report Card
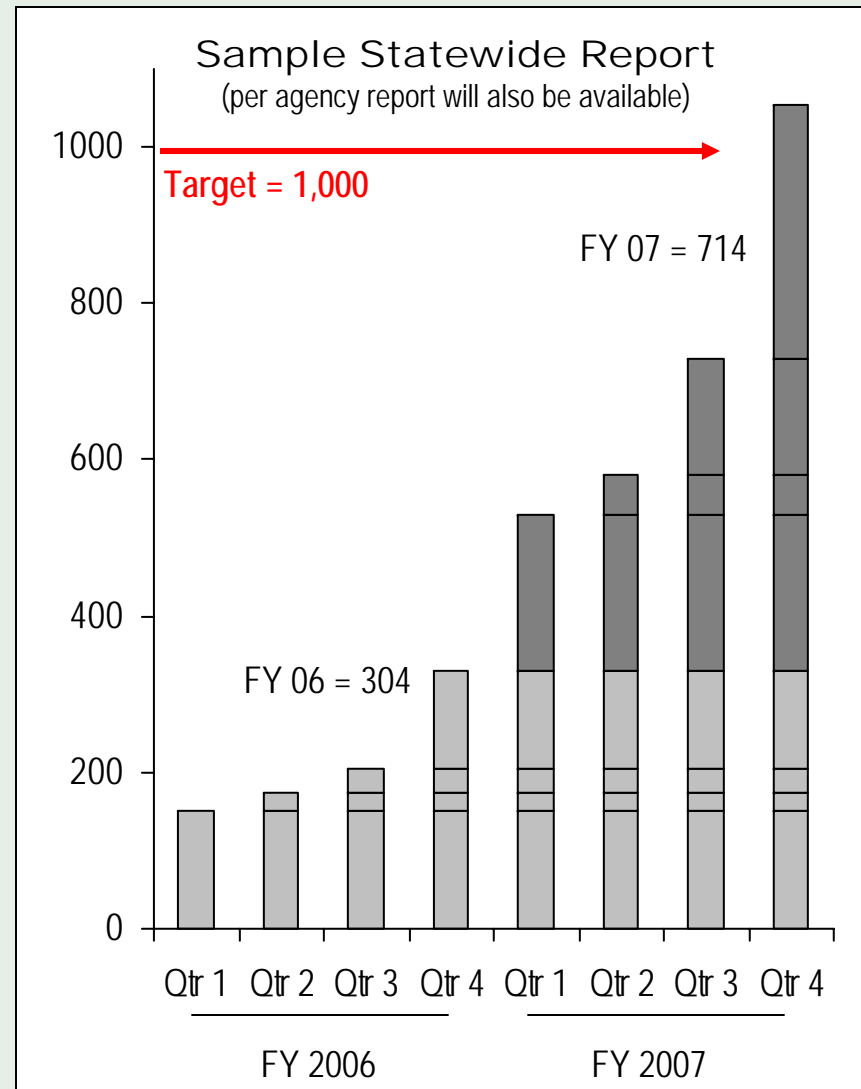
Eva Santos
Department of Personnel

Mid-Management Reductions

Directive:

- Cut 1,000 mid-management positions by end of 2005-07 biennium
  - FY 06 = 304
  - FY 07 = 714
- Agencies report quarterly progress to DOP, beginning October 1, 2005

Mid-management reform

- Re-define "manager"
- Assess statewide mid-management structure
- Implement new development program
- Install monitoring/tracking system
- Prepare legislative strategy

Sample Statewide Report
(per agency report will also be available)

Target = 1,000

FY 07 = 714

FY 06 = 304

Qtr 1 Qtr 2 Qtr 3 Qtr 4 Qtr 1 Qtr 2 Qtr 3 Qtr 4

FY 2006   FY 2007

Mid-Management Reductions Report
to Department of Personnel

Agency Name:

Agency Number:

Report for Quarter ending (date):

Notes:
Reductions may include exempt, WMS or other mid-management positions. Reductions may be funded vacant or filled positions, permanent or non-permanent.

Send completed form quarterly to JuliaG@dop.wa.gov
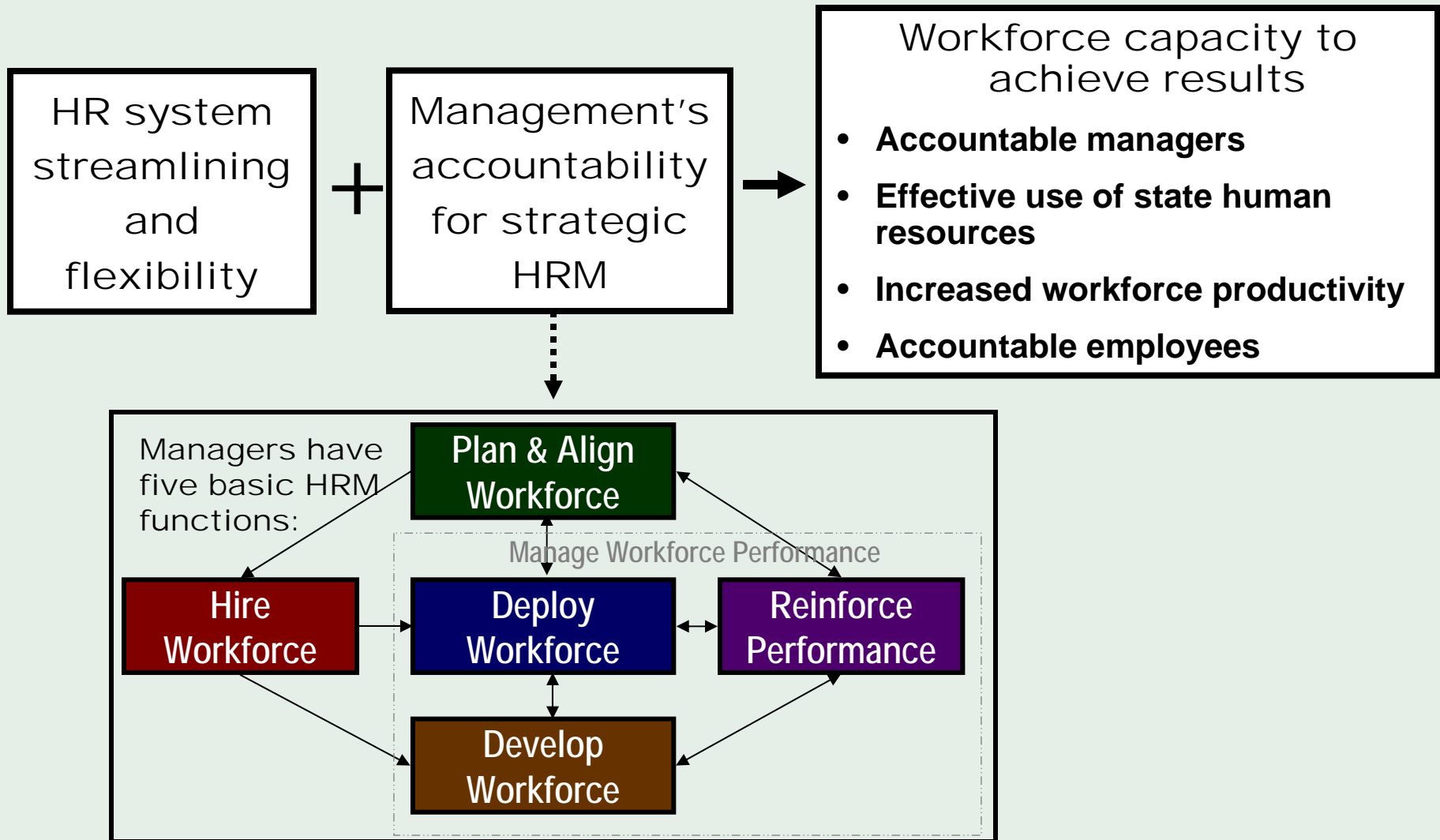Due dates: October 1st, January 1st, April 1st, July 1st

Sub Agency (if applicable)	Position #	Class Code	Class Title/ Working Title	% Time Worked	Position Abolishment Date	*Action Taken w/ Incumbent

3

Managers' Accountability for Strategic Human Resource Management

Managers' HRM Report Card

Strategic Human Resource Management
Managers' HRM Report Card

		Workforce capacity to achieve results
HR system streamlining and flexibility	**+** **Management's accountability for strategic HRM**	• **Accountable managers** • **Effective use of state human resources** • **Increased workforce productivity** • **Accountable employees**

Managers have five basic HRM functions:

Plan & Align Workforce

Manage Workforce Performance

Hire Workforce

Deploy Workforce

Reinforce Performance

Develop Workforce

Agency Managers' HRM Logic Model
(abbreviated)

Initial Outcomes

Plan & Align Workforce
- Workforce levels, competencies, & strategies are aligned with agency priorities
- Direction & managers' HRM accountabilities are communicated & understood

Hire Workforce
Best qualified hired & reviewed during appointment period

Deploy Workforce
- Workplace is safe, gives capacity to perform, fosters productive relations
- Employees know job requirements, how they're doing, & are supported

Develop Workforce
Learning environment created. Employees are engaged in development opportunities & seek to learn.

Reinforce Performance
- Employees know how their performance contributes to success of organization
- Strong performance rewarded; poor performance eliminated

Intermediate Outcomes

Foundation is in place to build and sustain a productive, high performing workforce

The right people are in the right job

Time & talent is used effectively. Employees are motivated & productive.

Employees have competencies for present job & career advancement

Successful performance is differentiated & strengthened. Employees held accountable.

Ultimate Outcomes

- Agencies have workforce depth & breadth needed for present and future success
- Employees are committed to the work they do & the goals of the organization
- Productive, successful employees are retained

Agencies are better enabled to successfully carry out mission

Citizens receive efficient, cost-effective government services

6

- **Agencies have workforce depth & breadth needed for success**
- **Employees are committed to their work & the goals of the organization**
- **Productive, successful employees are retained**

HRM Report Card

- Staffing and competency levels and gap measurements from agency workforce plans (not available)
- Employee ratings - job satisfaction and commitment
- Turnover rates (ideally linked to performance level)

Action

- Develop comprehensive workforce planning system
- Conduct enterprise workplace climate assessment
- Drill down turnover data and determine appropriate goals
- Establish data collection and analysis function in DOP

Indicators of Employee Satisfaction & Commitment

	Don't know	Never/seldom	Occasionally	Usually/always
Manager treats people with dignity & respect	1	0	9%	80%
I am satisfied with amount of challenges job provides		13%	13%	73%
My work gives me sense of personal accomplishment		15%	18%	66%
In general, I am satisfied with my job		14%	15%	72%
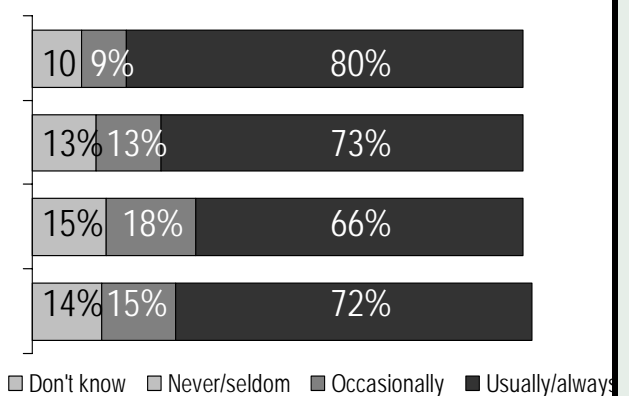
FY 05 Employee Survey:15 agencies or parts thereof. n = 5,654

Workforce Turnover

- Total
- Resignation
- Retirement
- Dismissal
- RIF/other
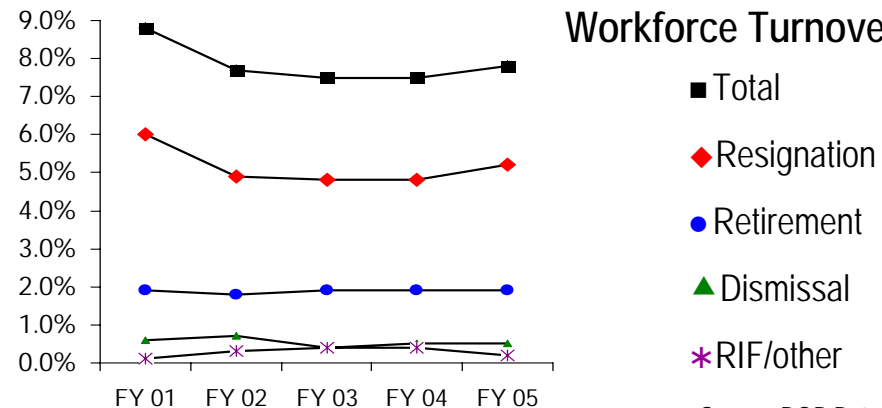
Source: DOP Data Warehouse

State Employee Survey FY 05 Roll-up Average Scores by Category

(rating scale = 1 to 5)

Category	Score
Senior Mgmt	3.11
Information	3.41
Customer Focus	3.5
Feedback	3.69
Diversity	3.75
Recognition	3.77
Job Satisf	3.77
Learning	3.83
Participation	3.94
Direction	3.96
Teamwork	4.15
OVERALL	3.73
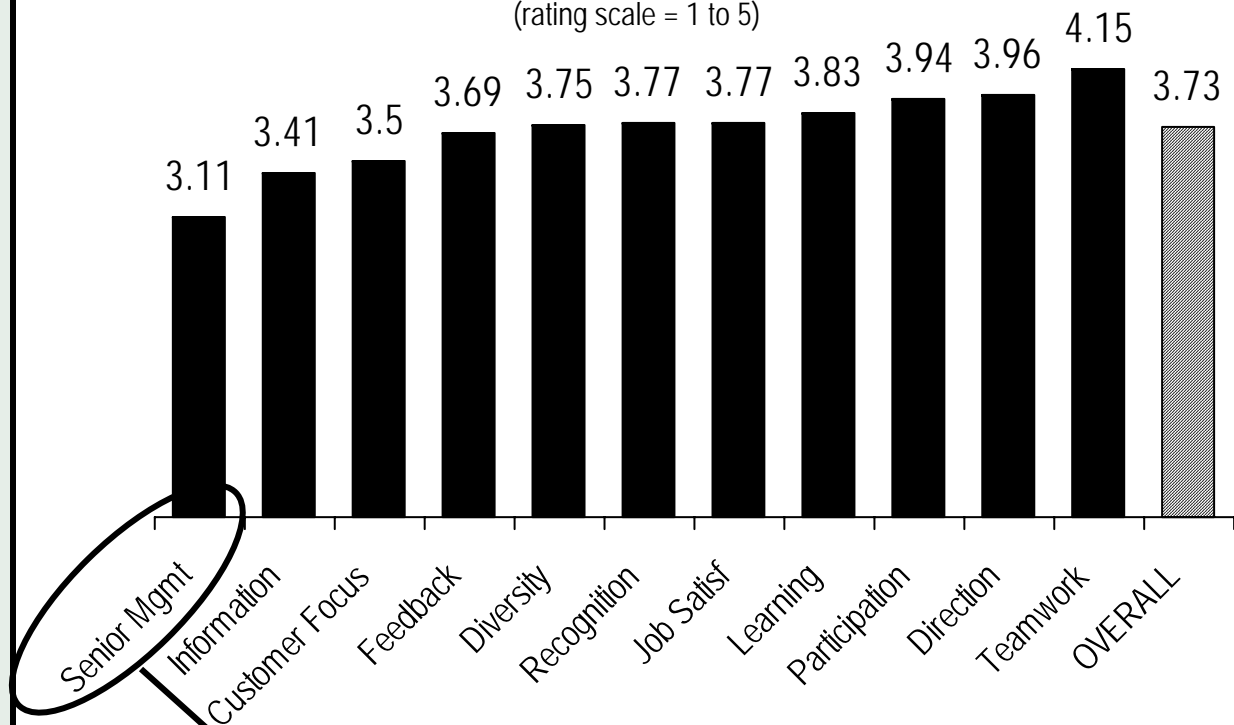
State Employee Survey Average Total Scores per Fiscal Year

(rating scale = 1 to 5)

Fiscal Year	Score
FY 01	3.82
FY 02	3.96
FY 03	4.0
FY 04	3.94
FY 05	3.73
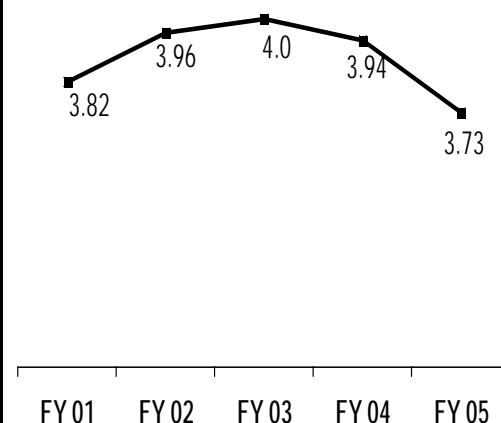
- State Employee Survey FY 2005 results: 15 agencies or parts thereof. n = 5,654
- This survey is voluntary

Statement	Never/seldom	Occasionally	Usually/always
Senior managers demonstrate values through their actions	32%	20%	41%
Senior managers communicate clear goals for organization	28%	22%	46%
Senior managers explain how agency success is measured	34%	22%	40%
Senior managers care about the employees	32%	16%	44%

☐ Don't know ☐ Never/seldom ☐ Occasionally ■ Usually/always

8

Plan & Align Workforce
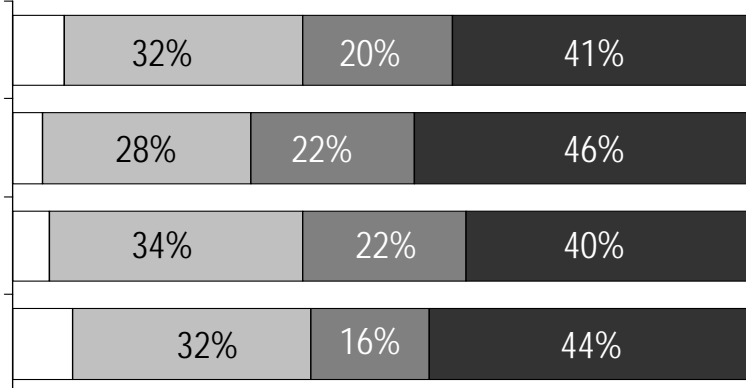
Overall foundation & management accountability system to build & sustain high performing workforce

HRM Report Card

(preliminary set-up measures)

- # agencies with key HRM policies adopted
- # agencies with manager training in place on new policies and CBA provisions
- # agencies with current performance expectations & evaluations for managers
- # agencies with workforce plans (future measure)

Action

- Directors communicate full HRM accountability expectations (Fall 05)
- Implement managers' HRM Report Card reporting process (Fall 05)
- Agencies adopt key HRM policies (Fall 05)
- Agencies train managers on new policies & master agreement provisions (Fall 05)
- Prepare mid-management reform recommendations (due Fall 05)

Does agency have preliminary foundation for strategic HRM?

- Only 13 agencies* have adopted at least 7 of the 9 key policies for non-represented employees.
- 18 agencies* have trained 90-100% of supervisors on new master agreements; 4 have trained 70-85% of supervisors
- The remaining agencies* did not respond to DOP's inquiry

* Agencies with >100 employees

Source: DOP 7-05

Does agency have manager accountability system in place?

Source: DOP 7-05

Agencies*

| | Performance expectations |
| | Performance evaluations |

Percent WMS Managers with Current Evaluations

Approx.10 med to large agencies did not respond
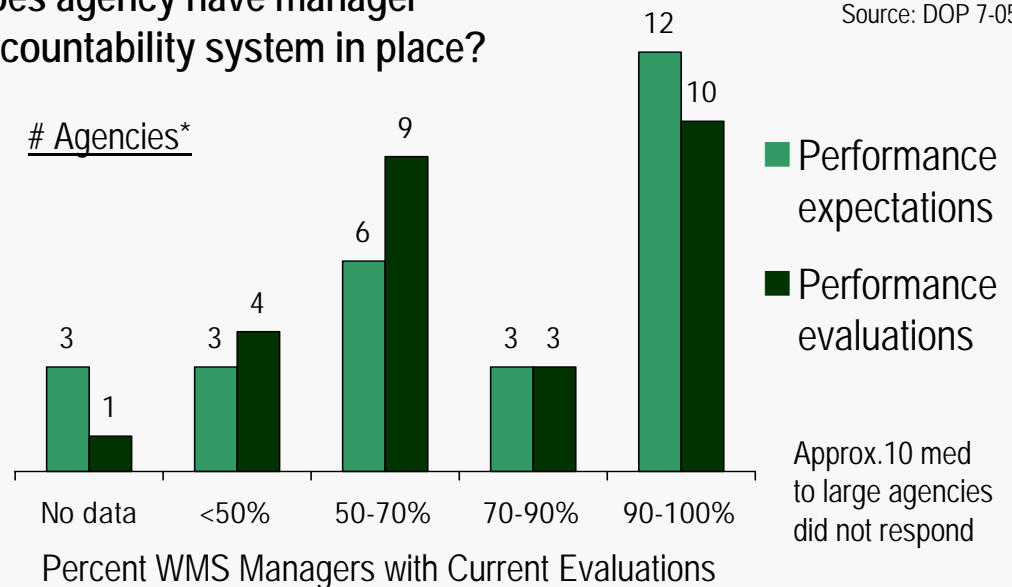
Managers' Accountability for Strategic Human Resource Management
Key Policies for Non-represented Employees

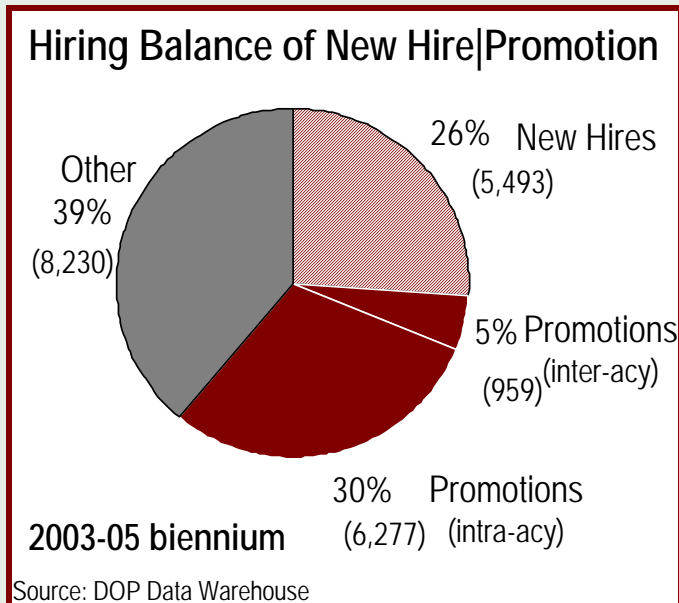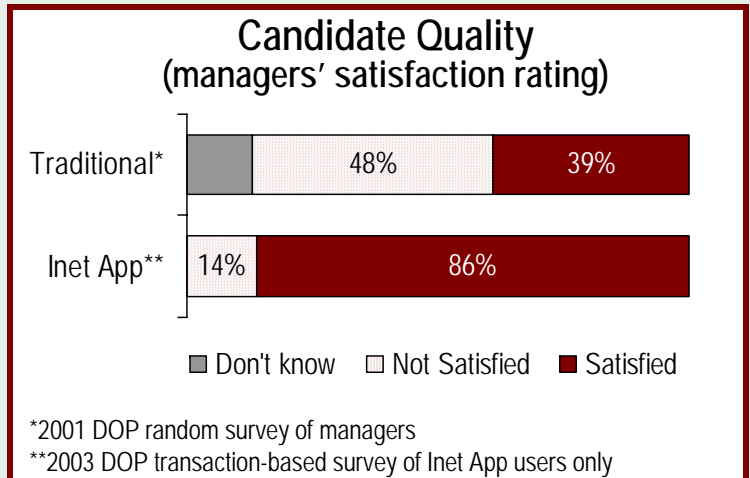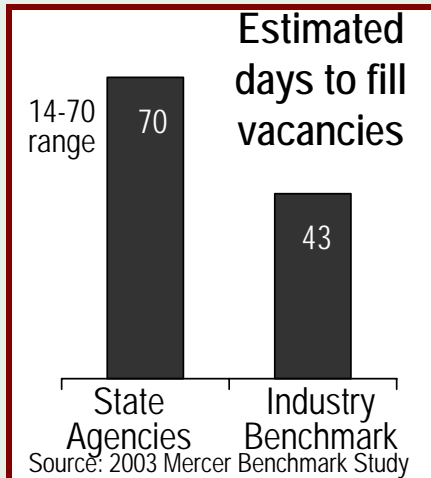|	
Plan & Align Workforce:	▪ Classification procedure (and position competencies)
Hire Workforce:	▪ Salary determination policy* ▪ Certification procedure ▪ Promotional policy ▪ Review period policy (probationary; trial service)
Deploy Workforce:	▪ Salary determination policy* ▪ Leave policies ▪ Lay-off procedure
Develop Workforce:	▪ Training & development policy/plan
Reinforce Performance	▪ Performance management policy ▪ Salary determination policy*

Hire Workforce

The right people are in the right job

HRM Report Card

- Days to fill vacancies
- % satisfaction with candidate quality
- % new hires; % promotional hires
- Retention/dismissal rate during appointment period

Action

- Agencies adopt new hiring policies, and train managers on policies and CBA provisions (Fall 05)
- DOP implement recruitment service commitments (start July 05)
- Implement e-recruitment (part of HRMS – Fall 06))
- Determine appropriate targets or benchmarks

Estimated days to fill vacancies

14-70 range

70 — State Agencies

43 — Industry Benchmark

Source: 2003 Mercer Benchmark Study

Candidate Quality
(managers' satisfaction rating)

	Don't know	Not Satisfied	Satisfied
Traditional*		48%	39%
Inet App**		14%	86%

*2001 DOP random survey of managers
**2003 DOP transaction-based survey of Inet App users only

Hiring Balance of New Hire|Promotion

- Other 39% (8,230)
- 26% New Hires (5,493)
- 5% Promotions (959) (inter-acy)
- 30% Promotions (6,277) (intra-acy)

2003-05 biennium

Source: DOP Data Warehouse

Separation in Review Period

New Hire Separations: 15.2%
- 4.2% *
- 11.0% **

Promotional Separations: 7.5%
- 1.4% *
- 6.2% **

* Released
** Voluntary

Source: DOP Data Warehouse

Deploy Workforce

Employee time and talent is used effectively. Employees motivated.

HRM Report Card

- Employee ratings: day-to-day support, productive work environment and relations
- Overtime usage
- Sick leave usage
- Workers compensation claims (next GMAP session)
- # non-disciplinary grievances & arbitrations (next GMAP session)
- # non-disciplinary appeals (next GMAP session)

Action

- Agencies adopt new deployment-related policies, and train managers on policies and CBA provisions
- As part of enterprise workplace climate assessment, gather data on day-to-day support and productive relations; set goals & action plan accordingly

Do employees have day-to-day support to perform job well?

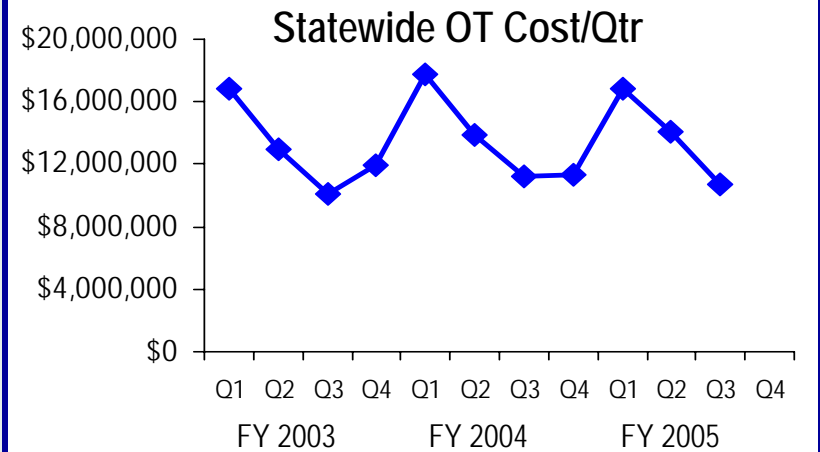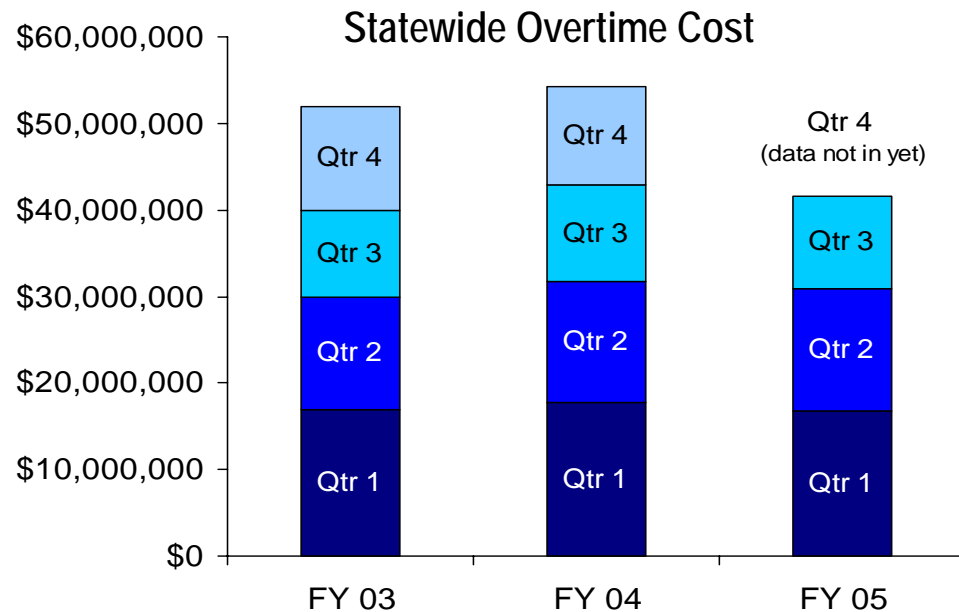|	Never/Seldom	Occasionally	Usually/Always
Supervisor gives clear work expectations.	15%	13%	72%
Have enough time to do what is expected of me.	24%	14%	62%
Have information needed to do job effectively.	11%	15%	74%
My supervisor gives me ongoing feedback.	20%	18%	61%

☐ Don't know ☐ Never/Seldom ☐ Occasionally ■ Usually/Always

FY 05 Employee Survey:15 agencies or parts thereof. n = 5,654

Continued next slide

Deploy Workforce

Is employee time well-managed?

Statewide Overtime Cost

- $60,000,000
- $50,000,000
- $40,000,000
- $30,000,000
- $20,000,000
- $10,000,000
- $0

FY 03: Qtr 1, Qtr 2, Qtr 3, Qtr 4
FY 04: Qtr 1, Qtr 2, Qtr 3, Qtr 4
FY 05: Qtr 1, Qtr 2, Qtr 3, Qtr 4 (data not in yet)

Statewide OT Cost/Qtr

- $20,000,000
- $16,000,000
- $12,000,000
- $8,000,000
- $4,000,000
- $0

Q1 Q2 Q3 Q4 | Q1 Q2 Q3 Q4 | Q1 Q2 Q3 Q4
FY 2003 | FY 2004 | FY 2005

FY 05 Qtr 4 data not in yet

 # Employees per Qtr claiming OT

- 17000
- 16500
- 16000
- 15500
- 15000
- 14500
- 14000
- 13500

Q1 Q2 Q3 Q4 | Q1 Q2 Q3 Q4 | Q1 Q2 Q3
FY 2003 | FY 2004 | FY 2005

- In FY 2004 alone:
  - Agencies paid total of $54,226,959 in overtime claims
  - Average quarterly OT per employee claim was 46.7 hours
  - Average of 15,935 employees (~28% of the general government workforce) claimed overtime each quarter
  - Approximately 85% of overtime costs was incurred by four agencies.
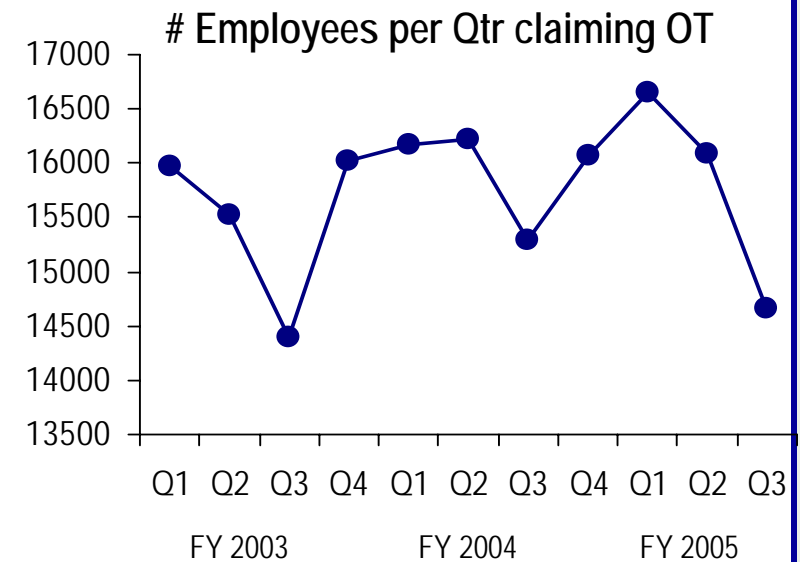
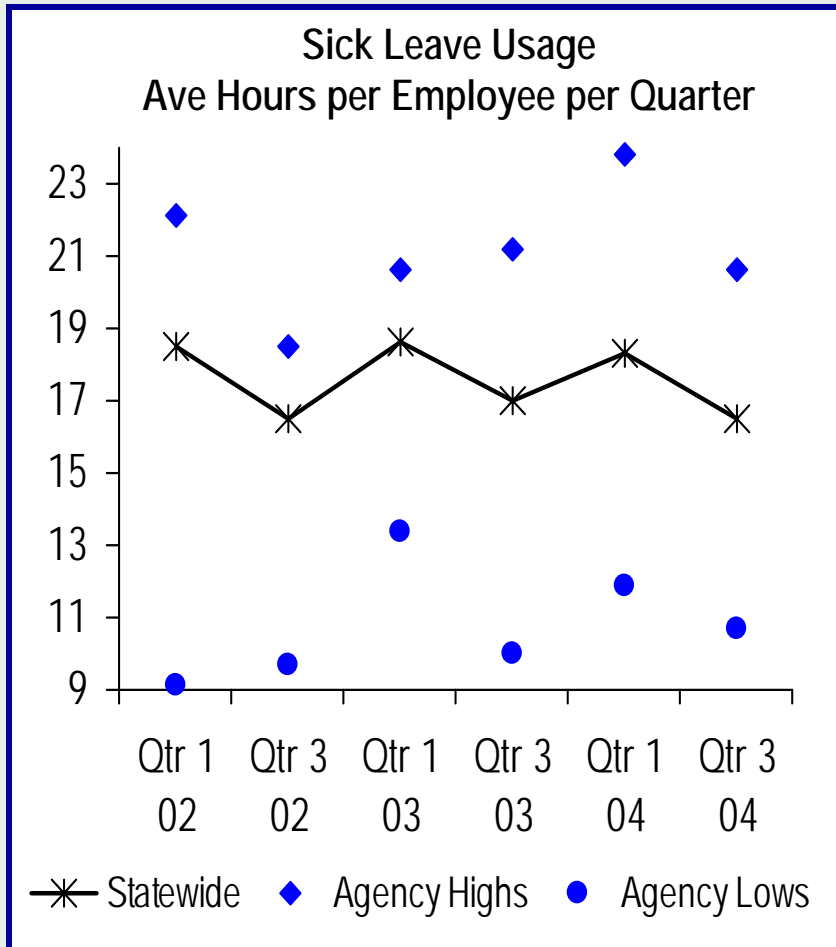Source for OT data: DOP payroll system

13

In order, the top ten users of overtime (in terms of cost, FY 03 & 04)

1.   Corrections

2.   DSHS

3.   Transportation

4.   Dept of Natural Resources

5.   Agriculture

6.   Employment Security

7.   Fish & Wildlife

8.   Veterans' Affairs

9.   Liquor Control Board

10.   Parks & Recreation

Deploy Workforce

Do employees come to work as scheduled?

Sick Leave Usage
Ave Hours per Employee per Quarter

| | Qtr 1 02 | Qtr 3 02 | Qtr 1 03 | Qtr 3 03 | Qtr 1 04 | Qtr 3 04 |

—✳— Statewide　　◆ Agency Highs　　● Agency Lows

- Blue diamonds indicate the (two) agencies that are significantly above the state average
- Blue dots indicate agencies that are significantly below the state average
- All other agencies hover around the average
- Cabinet agencies with ~ 100 or more employees were included in this analysis; plus DNR and F&W

Action (continued)

- Obtain and correlate worker's compensation data
- Start statewide collection of unscheduled versus scheduled leave
- Identify appropriate goals and targets

Source: DOP Data Warehouse

15

# Employees have competencies for present job and future advancement

HRM Report Card

- # agencies with agency training policy adopted
- # agencies with individual development plans for each employee
- Employee ratings - learning and skills

Action

- Agencies adopt or update policies on training and development
- Managers build and carry out individual development plans for each employee
- Determine method to track and benchmark training hours per employee

Number Agencies with Current Individual Development Plans
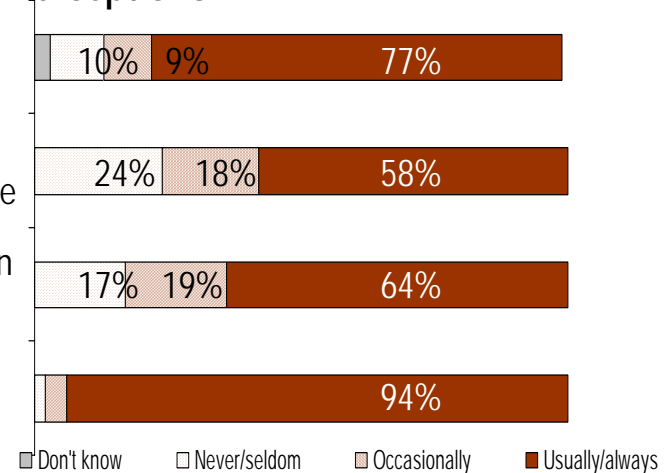
Agencies with >100 emps
~10 agencies did not respond

No data	50-60%	60-70%	70-80%	80-90%	90-100%
8	2	5	1	4	10

% employees with current individual development plans
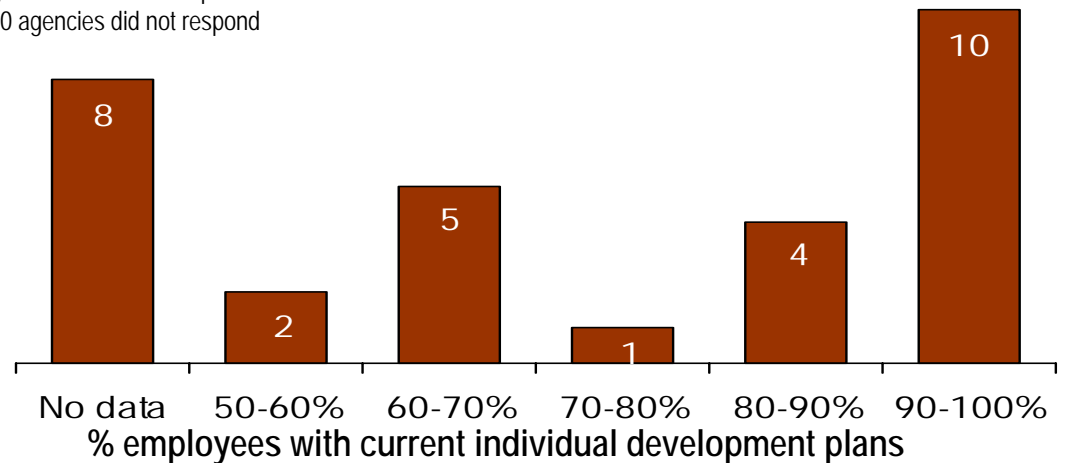
Employee Development Perceptions

	Don't know	Never/seldom	Occasionally	Usually/always
My supervisor supports participation in continuous learning		10%	9%	77%
I get coaching from my supervisor to help me improve		24%	18%	58%
I have the opportunity to learn and do new things		17%	19%	64%
I have the skills I need to do my job				94%

FY 05 Employee Survey:15 agencies or parts thereof. n = 5,654

16

Reinforce Performance

Successful performance is differentiated & strengthened. Employees are held accountable.

HRM Report Card

- # agencies with current performance expectations & evaluations for employees
- Employee ratings - linkage of job with agency goals
- # agencies with performance-based recognition programs
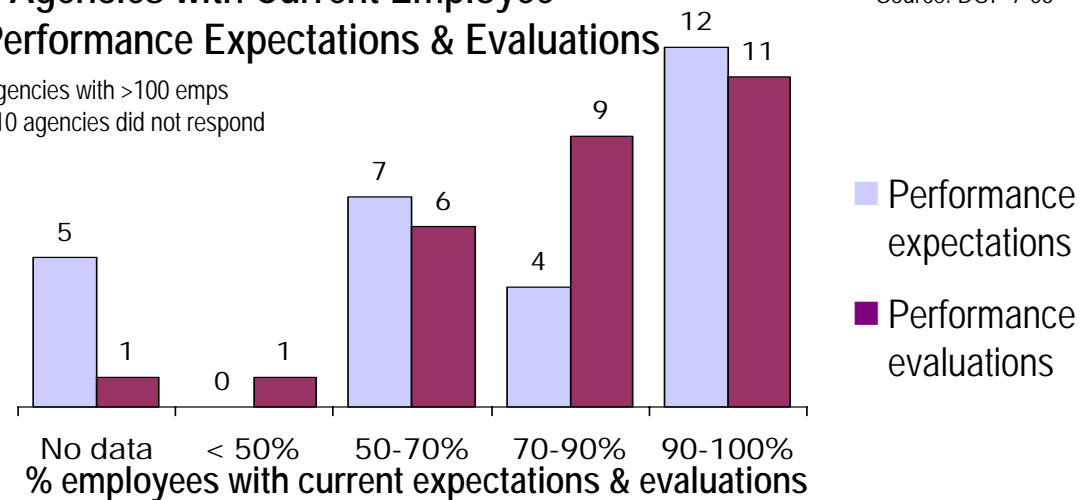- # disciplinary grievances/appeals; % upheld

Action

- Agencies adopt and communicate performance management policies
- Require 100% current performance expectations and evaluations
- DOP provide models for performance-based reward and recognition programs
- CONTINUED - next slide

Agencies with Current Employee Performance Expectations & Evaluations

Source: DOP 7-05

Agencies with >100 emps
~10 agencies did not respond

Legend:
- Performance expectations
- Performance evaluations

% employees with current expectations & evaluations	Performance expectations	Performance evaluations
No data	5	1
< 50%	0	1
50-70%	7	6
70-90%	4	9
90-100%	12	11

Do employees know how their performance contributes to the goals of the organization?

	Don't know	Never/seldom	Occasionally	Usually/always
My supervisor communicates the agency objectives to me		23%	19%	58%
I see a clear link between my job and the agency goals	14%	14%		70%
My last performance evaluation helped me to improve.		26%	13%	58%

FY 05 Employee Survey:15 agencies or parts thereof. n = 5,654

17
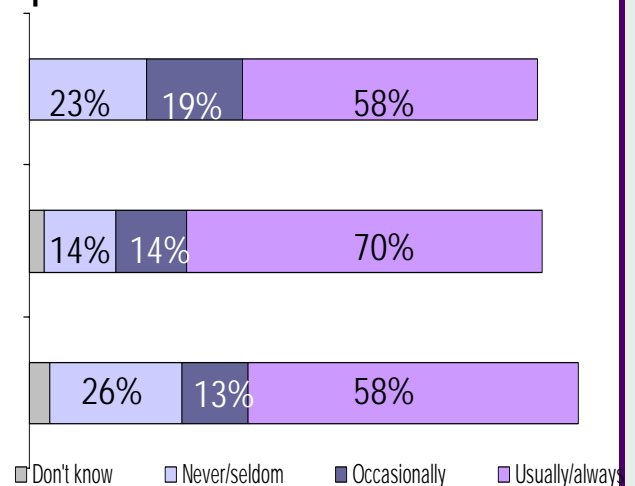
Reinforce Performance (continued)

Is poor performance dealt with?

FY 2003
Actions Taken: 250 | 55 | 176 | 151 — 632
Appeals: 93 | 35 | 40 | 47 — 215

FY 2004
Actions Taken: 272 | 54 | 162 | 149 — 637
Appeals: 112 | 41 | 46 | 53 — 252

FY 2005
Actions Taken: 274 | 54 | 158 | 137 — 623
Appeals: 87 | 37 | 37 | 43 — 204

■ Dismissal □ Demotion ■ Suspension ■ Salary Reduction

FY 2003 Appeals
- 18% Affirmed
- 2% Modified
- 1% Reversed
- 20% Settled
- 59% Dismiss or Withdrawn

FY 2004 Appeals
- Pending 6%
- 13% Affirmed
- 1% Modified
- 2% Reversed
- 19% Settled
- Dismiss or Withdrawn 59%

FY 2005 Appeals
- 1% Affirmed
- 16% Settled
- 19% Dismiss or Withdrawn
- Pending 64%
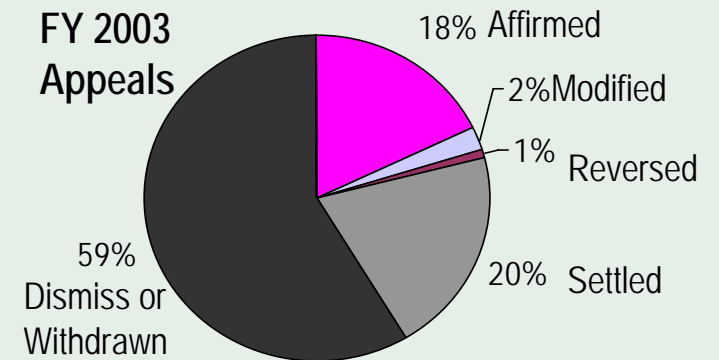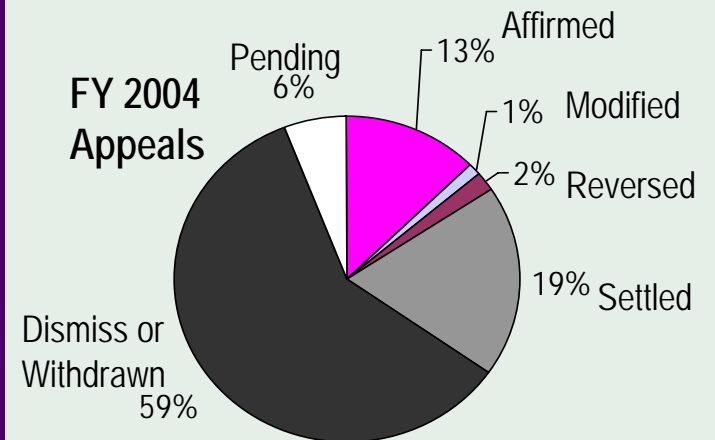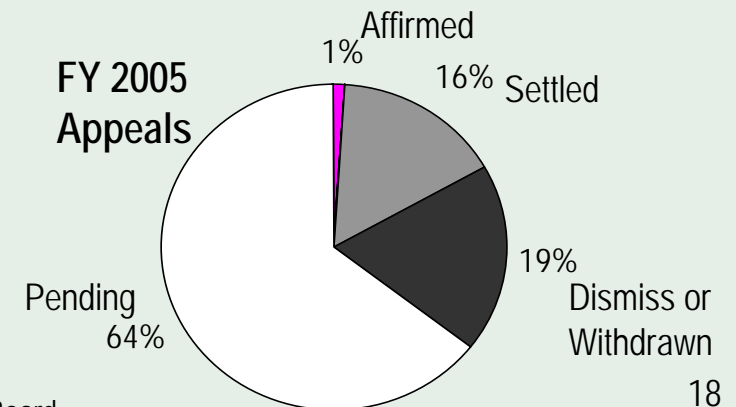
Action (continued)

- Train managers on new "just cause" disciplinary provisions
- Start tracking "reprimand" data
- Start tracking cycle time - event to action
- Communicate appeal result data to managers to dispel myths
- Gather employee perception data on tolerance of non-performance

Source: DOP Data Warehouse; Personnel Appeals Board

18

Disciplinary Action and Appeals

Fiscal Year	Type of Action	Number Actions Taken	Number Appeals Filed	Affirmed	Modified	Reversed	Settled	Dismiss or Withdrawn	Pending
FY03	Dismissal	250	93	24	3	1	15	50	0
	Demotion	55	35	6	0	0	10	19	0
	Suspension	176	40	0	1	0	12	27	0
	Salary Red.	151	47	9	1	1	7	29	0
	Totals:	**632**	**215**	**39**	**5**	**2**	**44**	**125**	**0**
FY04	Dismissal	272	112	21	1	0	15	65	10
	Demotion	54	41	3	0	2	6	26	4
	Suspension	162	46	6	2	0	11	27	0
	Salary Red.	149	53	3	0	2	15	32	1
	Totals:	**637**	**252**	**33**	**3**	**4**	**47**	**150**	**15**
	Dismissal	274	87	1	0	0	11	18	57
	Demotion	54	37	1	0	0	7	6	23
	Suspension	158	37	0	0	0	6	8	23
	Salary Red.	137	43	0	0	0	8	6	29
FY05	Totals:	**623**	**204**	**2**	**0**	**0**	**32**	**38**	**132**